

0-01-01

09/28/01

11054 U.S. PTO

**UTILITY PATENT APPLICATION TRANSMITTAL  
(Large Entity)**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.  
13768.233Total Pages in this Submission  
4**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application  
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application invention entitled:

**VOICE AND CIRCUMSTANCE-DEPENDENT NOTIFICATION**

and invented by:

Shawn Domenic Loveland and Jorg-Thomas Pfenning

If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:☒ Continuation ☐ Divisional ☐ Continuation-In-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_

Which is a:

☒ Continuation ☐ Divisional ☐ Continuation-In-part (CIP) of prior application No.: \_\_\_\_\_

Enclosed are:

**Application Elements**

1. ☒ Filing fee as calculated and transmitted as described below
2. ☒ Specification having 30 pages and including the following:
  - a. ☒ Descriptive Title of the Invention
  - b. ☐ Cross References to Related Applications (if applicable)
  - c. ☐ Statement Regarding Federally-sponsored Research/Development (if applicable)
  - d. ☐ Reference to Microfiche Appendix (if applicable)
  - e. ☒ Background of the Invention
  - f. ☒ Brief Summary of the Invention
  - g. ☒ Brief Description of the Drawings (if drawings filed)
  - h. ☒ Detailed Description
  - i. ☒ Claim(s) as Classified Below
  - j. ☒ Abstract of the Disclosure

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4

## Application Elements (Continued)

3. ☐ Drawing(s) (when necessary as prescribed by 35 USC 113)
- a. ☒ Formal Number of Sheets 3
- b. ☐ Informal Number of Sheets \_\_\_\_\_
4. ☒ Oath or Declaration
- a. ☒ Newly executed (original or copy) ☐ Unexecuted
- b. ☐ Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
- c. ☒ With Power of Attorney ☐ Without Power of Attorney
- d. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application,  
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (usable if Box 4b is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. ☐ Computer Program in Microfiche (Appendix)
7. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all must be included)
- a. ☐ Paper Copy
- b. ☐ Computer Readable Copy (identical to computer copy)
- c. ☐ Statement Verifying Identical Paper and Computer Readable Copy

## Accompanying Application Parts

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(B) Statement (when there is an assignee)
10. ☐ English Translation Document (if applicable)
11. ☒ Information Disclosure Statement/PTO-1449 ☒ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Acknowledgment postcard
14. ☒ Certificate of Mailing
- ☐ First Class ☒ Express Mail (Specify Label No.): EL 825 833 571 US

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**(Large Entity)**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Docket No.  
13768.233

Total Pages in this Submission  
4

**Accompanying Application Parts (Continued)**

15. ☐ Certified Copy of Priority Document(s) *(if foreign priority is claimed)*

16. ☒ Additional Enclosures *(please identify below):*

PTO Form 2038 in the amount of \$1,054.00

**Request That Application Not Be Published Pursuant To 35 U.S.C. 122(b)(2)**

7. ☐ Pursuant to 35 U.S.C. 122(b)(2), Applicant hereby requests that this patent application not be published pursuant to 35 U.S.C. 122(b)(1). Applicant hereby certifies that the invention disclosed in this application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications 18 months after filing of the application.

**Warning**

*An applicant who makes a request not to publish, but who subsequently files in a foreign country or under a multilateral international agreement specified in 35 U.S.C. 122(b)(2)(B)(i), must notify the Director of such filing not later than 45 days after the date of the filing of such foreign or international application. A failure of the applicant to provide such notice within the prescribed period shall result in the application being regarded as abandoned, unless it is shown to the satisfaction of the Director that the delay in submitting the notice was unintentional.*

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(Large Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

13768.233

Total Pages in this Submission

4

Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	28	- 20 =	8	x \$18.00	\$144.00
Indep. Claims	5	- 3 =	2	x \$80.00	\$160.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$710.00
OTHER FEE (specify purpose) Assignment Recordation Fee					\$40.00
TOTAL FILING FEE					\$1,054.00

PTO 2038 Credit Card Payment

- ☒ Form in the amount of **\$1,054.00** to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. **23-3178** as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of \_\_\_\_\_ as filing fee.
- ☒ Credit any overpayment.
- ☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- ☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).



Signature

Adrian J. Lee  
Attorney for Applicant  
Registration No. 42,785

Dated: September 28, 2001

01/03/2001 AADDF01 00000016 233173 09566585  
Sale Ref: 00000046 DAA: 233178 09566585  
01 FC:101 710.00 CH  
02 FC:103 144.00 CH  
03 FC:102 160.00 CH

# United States Patent & Trademark Office

## Credit Card Payment Form

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U.S. PTO  
966685  
09/28/01

### Credit Card Information

Credit Card Type: ☐ Visa ☐ MasterCard ☒ American Express ☐ Discover

Credit Card Account #:

Credit Card Expiration Date: November 2003

Name as it Appears on Credit Card: Adrian J. Lee

Payment Amount: \$(US Dollars): One-Thousand Fifty Four dollars and no cents

Signature:

Date: September 28, 2001

Refund Policy: The Office may refund a fee paid by mistake or in excess of that required. A change of purpose after the payment of a fee will not entitle a party to a refund of such fee. The Office will not refund amounts of twenty-five dollars or less unless a refund is specifically requested, and will not notify the payor of such amounts (37CFR 1.26). Refund of a fee paid by credit card will be via credit to the credit card account.

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### Credit Card Billing Address

Street Address 1: 4629 South Stockbridge Lane

Street Address 2:

City: Salt Lake City

State: Utah

Zip/Postal Code: 84117

Country: USA

Daytime phone #: (801) 533-9800

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### Request and Payment Information

Description of Request and Payment Information:

<input checked="" type="checkbox"/> Patent Fee	<input type="checkbox"/> Patent Maintenance Fee	<input type="checkbox"/> Trademark Fee	<input type="checkbox"/> Other Fee
Application No.	Application No.	Serial No.	IDON Customer No.
Patent No.	Patent No.	Registration No.	
Attorney Docket No. 13768.233		Identify or Describe Mark	

If the cardholder includes a credit card number on any form or document other than the Credit Card Payment Form, the United States Patent & Trademark Office will not be liable in the event that the credit card number becomes public knowledge.

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**Applicant(s): **Shawn Domenic Loveland and Jorg-Thomas Pfenning**

Docket No.

13768.233

Serial No.

Not Yet Assigned

Filing Date

September 28, 2001

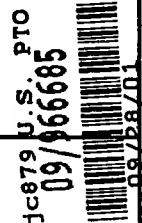
Examiner

Not Yet Assigned

Group Art Unit

Not Yet Assigned

Invention:

**VOICE AND CIRCUMSTANCE-DEPENDENT NOTIFICATION**I hereby certify that this correspondence listed below

(Identify type of correspondence)

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under

37 CFR 1.10 in an envelope addressed to: The Commissioner of Patents and Trademarks, Washington, D.C.

20231-0001 on September 28, 2001

(Date)

Ilona D. Craske

(Typed or Printed Name of Person Mailing Correspondence)

(Signature of Person Mailing Correspondence)

EL 825 833 571 US

("Express Mail" Mailing Label Number)

Utility Patent Application Transmittal Letter (Large Entity)  
in triplicate

(4 pages)

Form PTO-2038 in the amount of \$1,054.00 (in triplicate)

(1 page)

Patent application

(30 pages)

Drawings

(3 sheets)

Assignment with cover sheet

(4 pages)

Declaration

(2 pages)

IDS w/ PTO-1449 &amp; 2 cited references

(3 pages)

Certificate of Mailing by Express Mail Label EL 825 833 571 US

(1 page)

Postcard